

Mecklenburg County Status Update

Department of Internal Audit
Clinical and Laboratory
Test Result Notifications Audit
Audit Review Committee Update
August 2, 2017

Health Department Audit Update

- ▶ Internal Audit is evaluating the design and effectiveness of the patient notification process for clinical laboratory and radiologic test results.
- ▶ In addition, we are reviewing and evaluating all relevant clinical data from April 1, 2014 through March 31, 2017.

Health Department Audit Update

► Test areas:

- Cervical Cancer/HPV (Pap Smear)
- Colorectal Cancer
- HIV and STDs
- Hepatitis B and C
- Breast Cancer (Mammography)
- Tuberculosis

► Test locations:

- NW and SE Health Department clinics and testing services provided by Community-Based Testing

Health Department Audit Update

► Our audit excludes:

- Clinic testing services for which patients receive results in-clinic at the time of their visit
- Evaluation of the quality of provider diagnoses
- Patient follow-through on referrals for services
- Subsequent treatment provided by the County to patients
- Aging report requested by the Audit Review Committee and other activities stated in external consultants' scope of work

Health Department Audit Update

Key Milestones	Status
Audit planning	Completed
Conduct risk assessment	Completed
Define and validate departmental process objectives	Completed
Interview departmental process owners	Completed
Map workflows and identify key internal controls and control gaps	Completed
Identify and confirm availability of relevant data for testing purposes	Completed
Obtain internal electronic medical record (EMR) data for testing purposes	Completed
Obtain external electronic health record data for testing purposes	Completed

Health Department Audit Update

Key Milestones	Status
Communicate preliminary issues based on process design to Health Department Executive Leadership	Completed
Communicate/compare issues and Pap smear results with consultants	Completed
Identify instances of non-compliance to applicable criteria	In process
Develop recommendations for improvement based on results of testing	In process
Communicate final issues to Health Department Executive Leadership	Pending

Health Department Audit Update

- ▶ Preliminary Results and Recommendations Herein Subject to Final Management Review and Indexing and Referencing Process

Health Department Audit Update

► Testing Methodology

- Reviewed patient electronic medical records (EMR) to determine whether the County completed the required number of attempts to notify patients of abnormal or unsatisfactory test results
- Based notification criteria on available policy and management corroboration
- Identified in the EMR whether the patient was successfully notified
- Identified patient records that did not meet notification requirements
- Did not evaluate patient follow-through on referrals for services

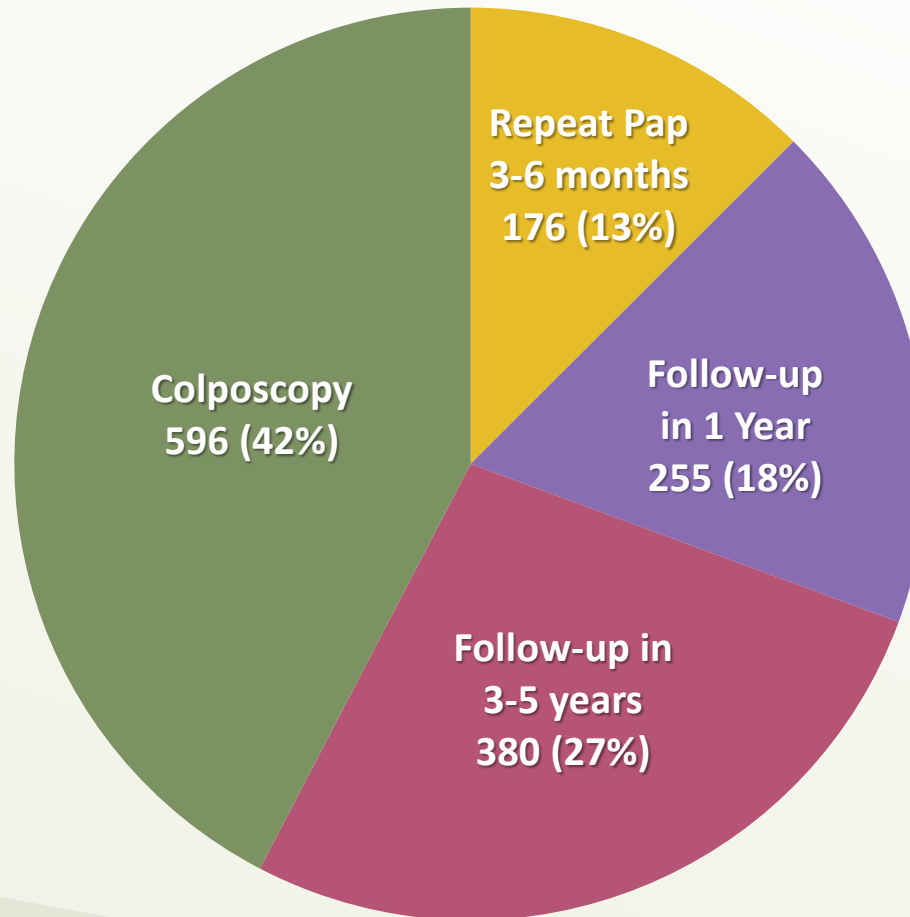
Health Department Audit Update

Pap Smear Testing Summary Counts

Testing Timeframe	Total Orders	Total Abnormal Results
April 2014 – January 2015	2,150	482 (manual review)
February 2015 – March 2017	5,750	925 (data extraction)
TOTAL	7,900	1,407

Health Department Audit Update

Abnormal/Unsatisfactory Pap Results by Provider Instructions



Health Department Audit Update

Pap Smear Exceptions Summary

Refer for Colposcopy

Requirements	Number of Exceptions*	Percentage of Exceptions
1st Letter Sent	48 of 596	8%
2nd Letter Sent	141 of 427	33%
3rd Letter Sent	109 of 201	54%
- <i>Certified Letter</i>	<i>43 of 92</i>	<i>47%</i>

*Population number reflects patients we could not confirm were successfully notified of test results.

Health Department Audit Update

Pap Smear Exceptions Summary

Repeat Pap in 3-4 or 6 months

Requirements	Number of Exceptions*	Percentage of Exceptions
1st Letter Sent	18 of 176	10%
2nd Letter Sent	51 of 123	41%
3rd Letter Sent	32 of 54	59%
- <i>Certified Letter</i>	<i>17 of 22</i>	<i>77%</i>

*Population number reflects patients we could not confirm were successfully notified of test results.

Health Department Audit Update

Pap Smear Exceptions Summary

Follow-up in 1 year

Requirements	Number of Exceptions*	Percentage of Exceptions
1st Letter Sent	7 of 255	3%
2nd Letter Sent	192 of 213	90%
3rd Letter Sent	13 of 16	81%
- <i>Certified Letter</i>	<i>1 of 3</i>	<i>33%</i>

*Population number reflects patients we could not confirm were successfully notified of test results.

Health Department Audit Update

Pap Smear Exceptions Summary

Follow-up in 3-5 years

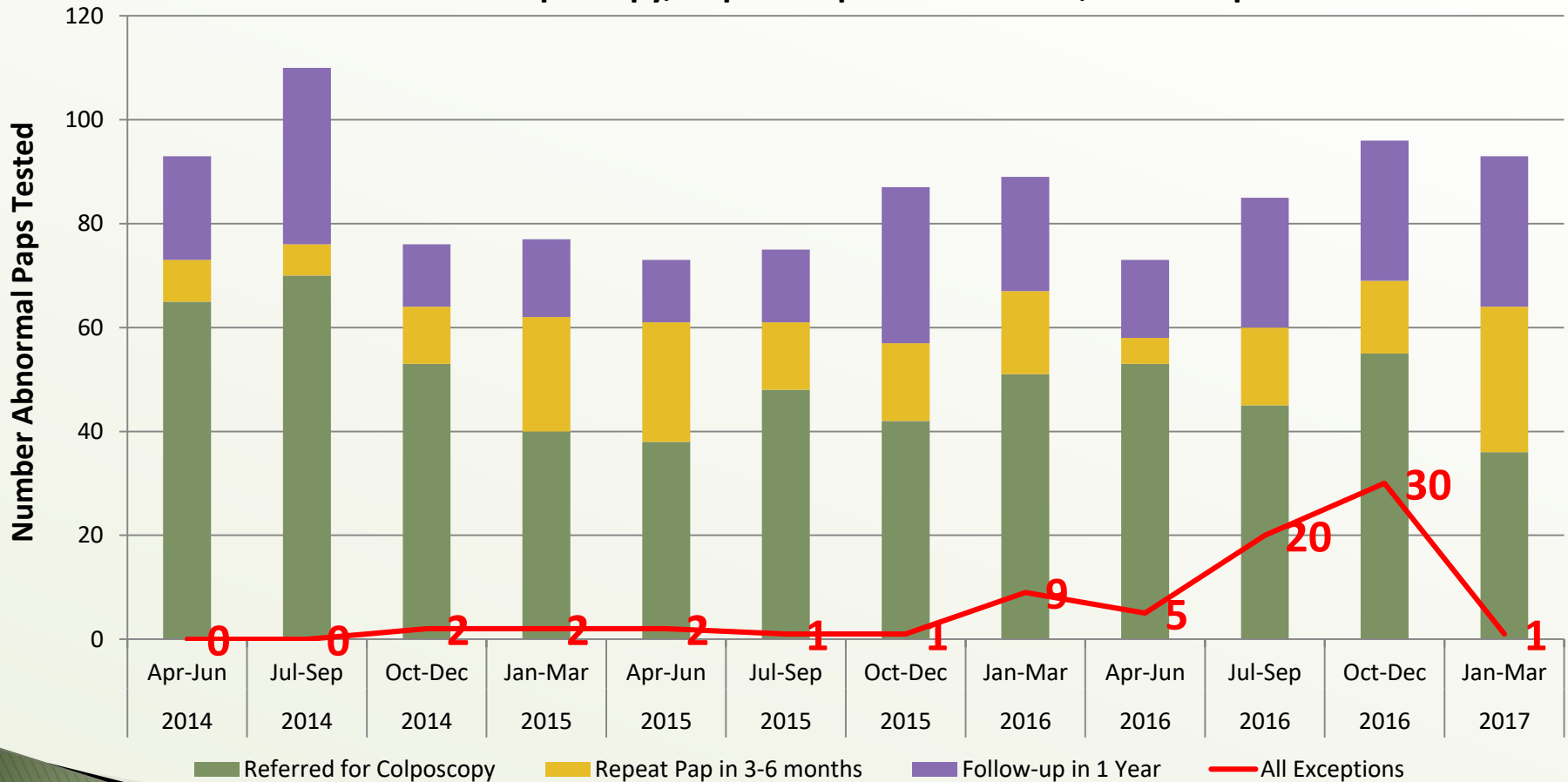
Requirements	Number of Exceptions*	Percentage of Exceptions
1st Letter Sent	50 of 380	13%
2nd Letter Sent	290 of 298	97%
3rd Letter Sent	6 of 7	86%
- <i>Certified Letter</i>	<i>1 of 1</i>	<i>100%</i>

*Population number reflects patients we could not confirm were successfully notified of test results.

Health Department Audit Update

No Letter Sent Exceptions

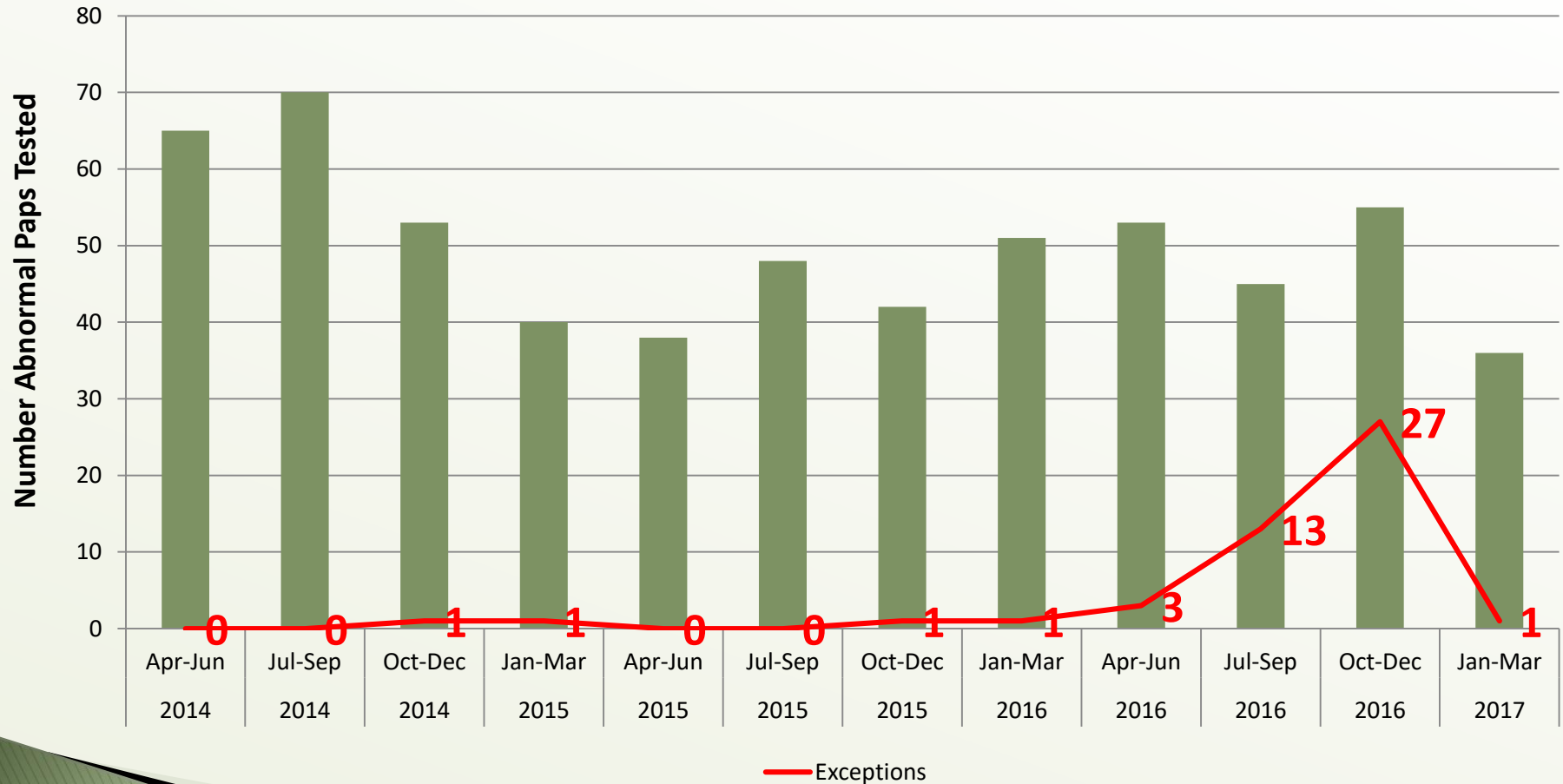
Referred for Colposcopy, Repeat Pap in 3-6 Months, Follow-up in 1 Year



Health Department Audit Update

No Letter Sent Exceptions

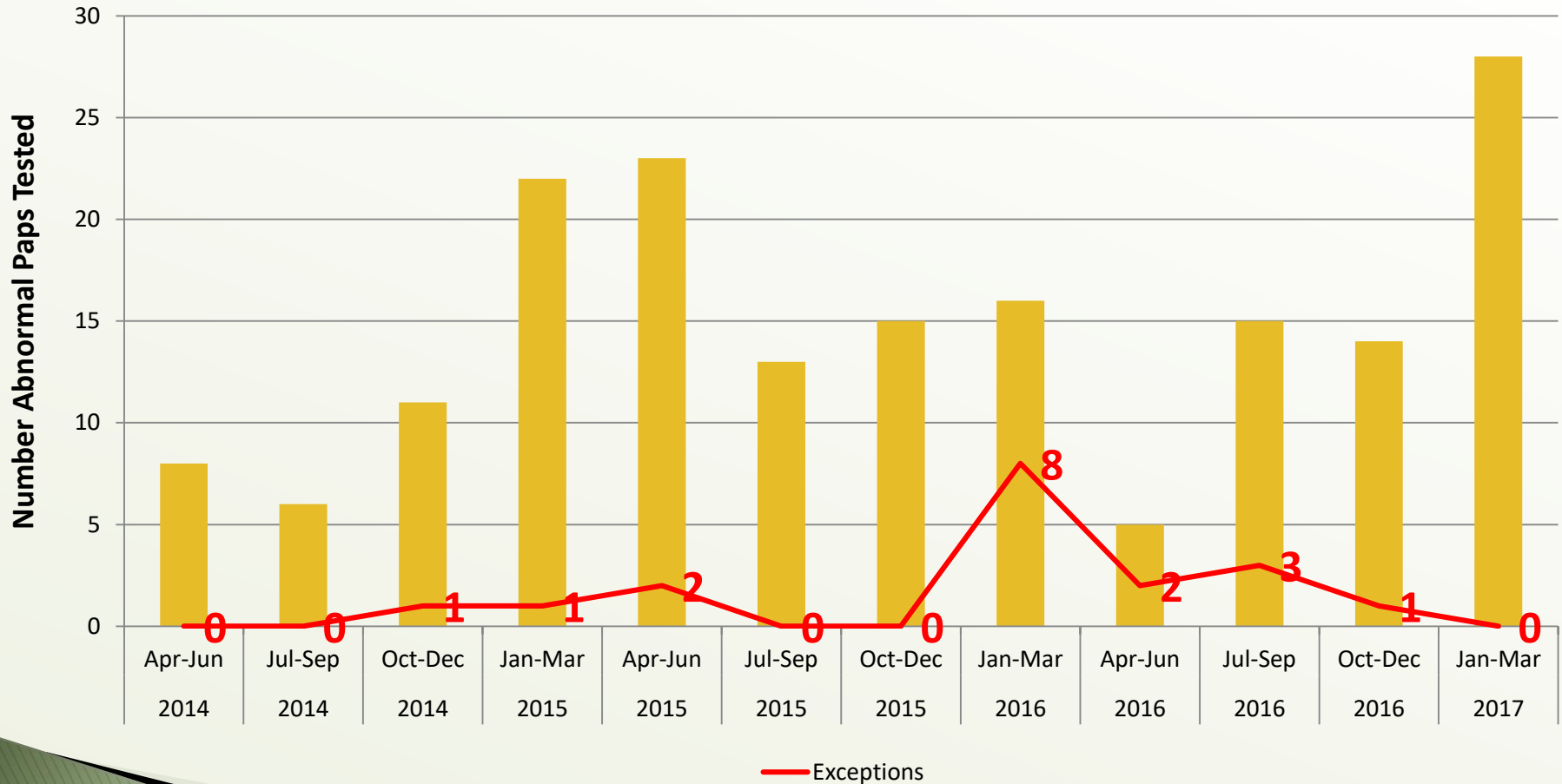
Referred for Colposcopy



Health Department Audit Update

No Letter Sent Exceptions

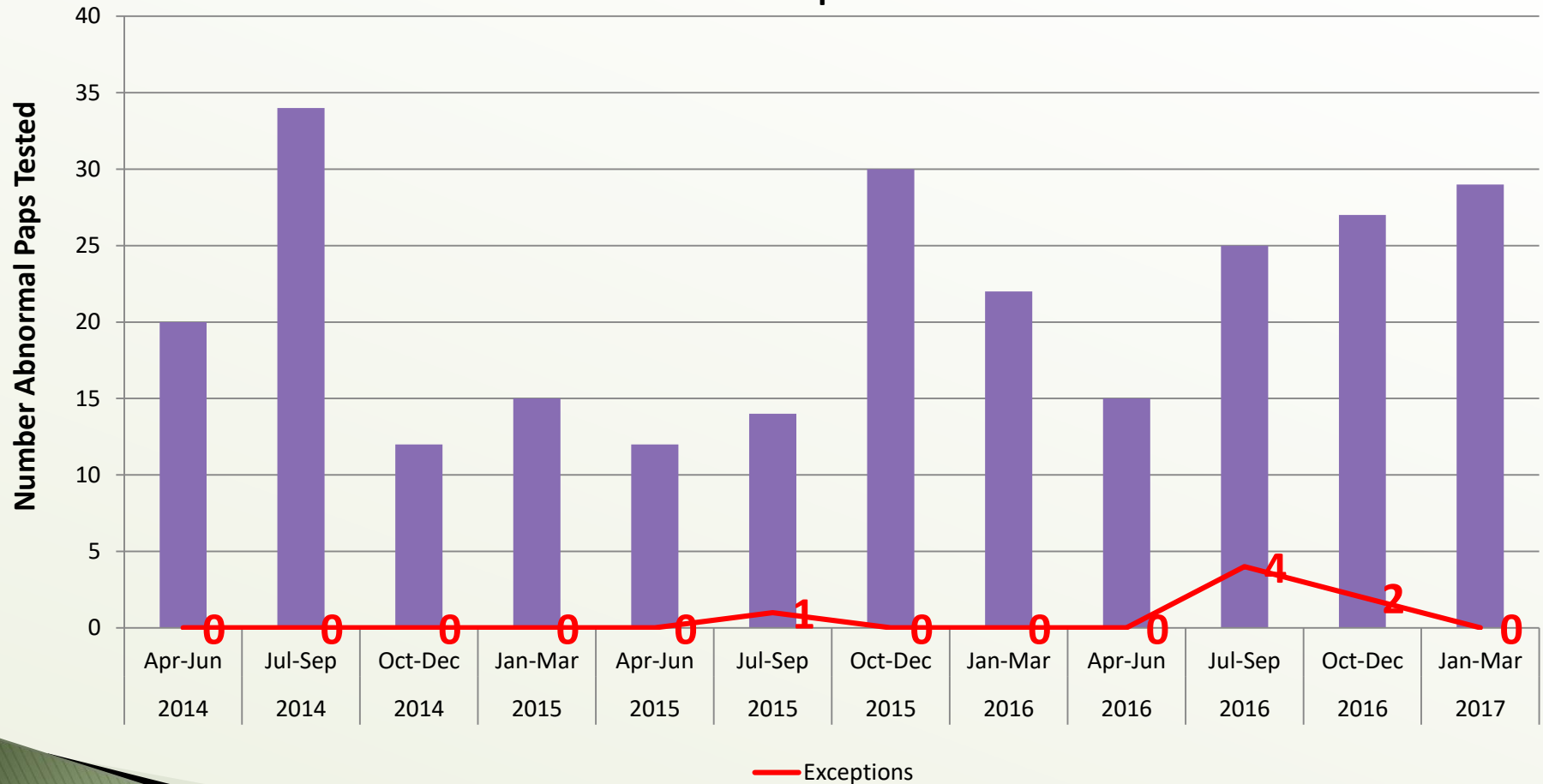
Repeat Pap in 3-6 Months



Health Department Audit Update

No Letter Sent Exceptions

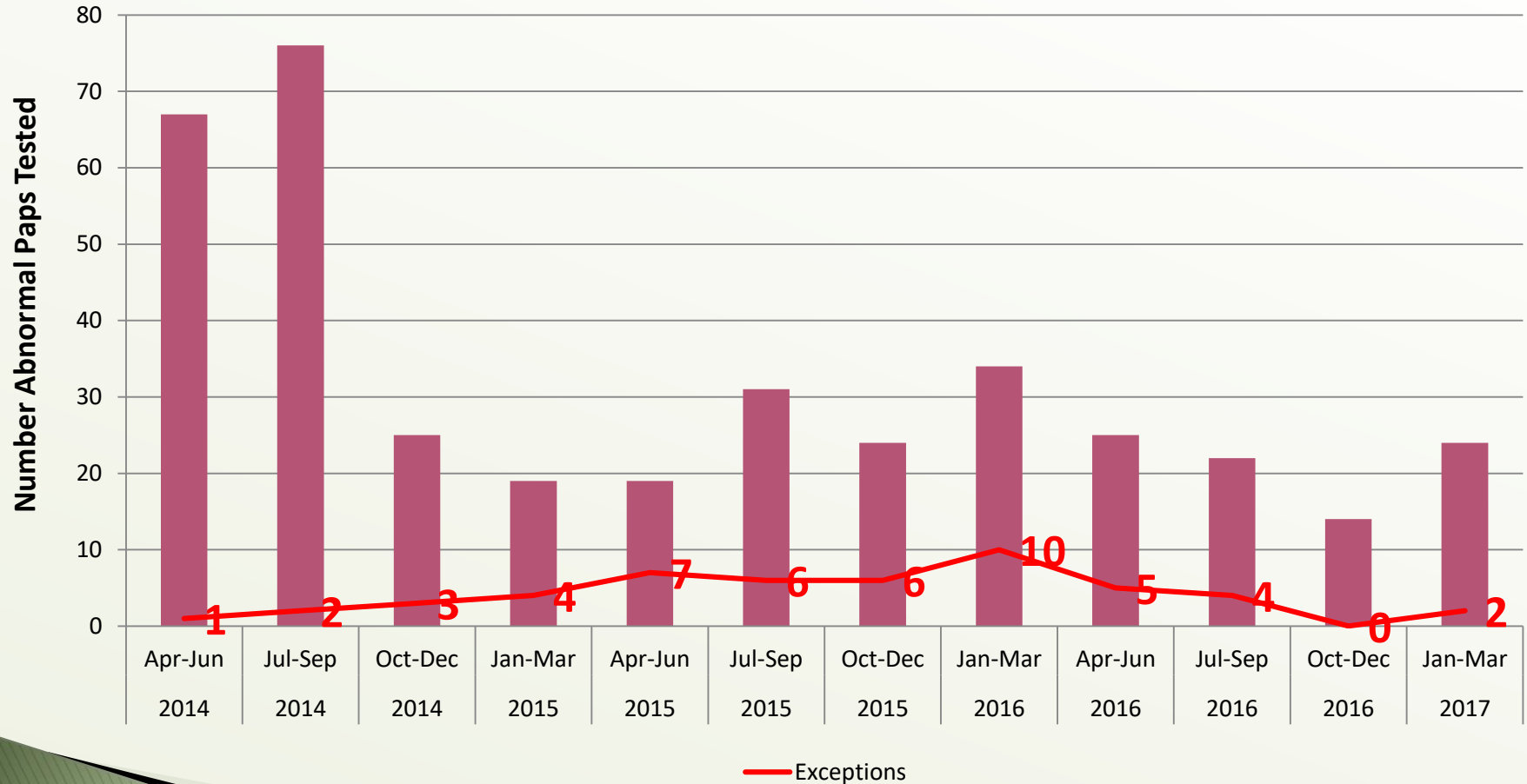
Follow-up in 1 Year



Health Department Audit Update

No Letter Sent Exceptions

Follow-up in 3-5 Years



Health Department Audit Update

Audit Team

- ▶ Felicia Stokes, Audit Manager
 - CIA, CISA, CRMA
- ▶ Chinyere Brown, Auditor-in-Charge
 - CIA, CFE
- ▶ Deborah Caldwell, Information Technology Auditor
 - CIA, CISA
- ▶ Joanne Prakapas, Director
 - CPA/CFF, CIA, CRMA, CFE

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QUESTIONS

